

STATE OF CONNECTICUT
DEPARTMENT OF CONSTRUCTION SERVICES

STANDARD FIXED-FEE ENGINEER'S CONTRACT
PROJECT NUMBER: BI-CTC-440
CONTRACT NUMBER: BI-CTC-440-ENG

This contract for professional services herein designated in connection with the project entitled

Renovate B-Lot and Add 225 New Parking Spaces
Manchester Community College
Manchester, CT

is entered into this *20th* day of *September*, 2011, by and between the State of Connecticut, hereinafter called the State, acting herein by its Commissioner of the Department of Construction Services (DCS), under the provisions of Sections 4-8 and 4b-1 of the Connecticut General Statutes, as revised and/or amended, and

James P. Purcell Associates, Inc.
90 National Drive
Glastonbury, CT 06033

hereinafter called the Engineer;

WITNESSETH

WHEREAS all references in this Agreement/Contract to the "Department of Public Works" ("DPW") shall be deleted and the "Department of Construction Services" ("DCS") shall be substituted for the "Department of Public Works" and shall have the same meaning and effect as the "Department of Public Works." The statutory authority, duties and responsibilities of the DPW relating to this Agreement/Contract are consolidated into the DCS.

NOW, THEREFORE, that the State and the Engineer, in consideration of the mutual covenants, terms and conditions herein contained, do hereby agree as follows:

1. The Engineer shall provide professional services for the project in accordance with Exhibit A, which is attached hereto and made a part hereof, and the "Terms and Conditions of Contract between State and Engineer," Department of Construction Services Form CS-3E dated February 9, 1998, and last revised April 27, 2011, which document is attached hereto as Attachment 1 and made a part hereof.
2. The Engineer's total fee of **Three Hundred Sixty Seven Thousand Four Hundred Fifty Dollars (\$367,450.00)** shall be paid as indicated below, and such other work as described in Section II of Exhibit A, which exhibit is attached hereto and made a part hereof, for the completion of the work specified when previously authorized in writing:
 - A. Schematic Design Phase: **Fifty Thousand Six Hundred Dollars (\$50,600.00);**
 - B. Design Development Phase: **Fifty Six Thousand Four Hundred Dollars (\$56,400.00);**
 - C. Contract Documents Phase: **Sixty Thousand Three Hundred Dollars (\$60,300.00);**
 - D. The Engineer shall be paid a sum of **Twelve Thousand Four Hundred Dollars (\$12,400.00)** after the documents to be provided in the contract documents phase are bid by the Department of Construction Services and the Engineer's duties for the bidding phase have been completed to the Department of Construction Service's satisfaction, or when the State's construction contract with the general contractor is signed. If neither occurs, this amount will not be earned and paid.
 - E. In the event the State approves and allocates funds for construction, a sum of **Forty Nine Thousand Nine Hundred Dollars (\$49,900.00)** shall be paid to the Engineer for construction administration services, if such administration is requested by the Department of Construction Services. This sum includes the costs of services of any clerical and/or technical assistants working in the Engineer's office or in the field. Said sum

shall be paid in equal monthly installments, based upon the construction contract time, until payment reaches 90% of the construction administration sum. An additional 5% of the construction administration sum shall be payable upon (1) completing project closeout as required by the General Conditions and the General Requirements of the Contract for Construction and (2) the receipt of record drawings. The balance of the construction administration sum shall be payable upon Certification of the Final Application for Payment.

The duties of the Engineer for said construction administration are as indicated in Article VII of the "Terms and Conditions of Contract between State and Engineer."

In the event the Commissioner of the Department of Construction Services, hereinafter called the "Commissioner," determines that the Engineer has not performed its services as required by this contract, then the equal monthly installments shall be adjusted to a percentage commensurate with the level of the actual performance of the construction administration services. The equal monthly installment payments can be readjusted to a percentage commensurate with the level of the Engineer's actual improvement of performance of construction administration services. The issue of the Engineer's performance of services shall be determined by the Commissioner.

All payment installments, as adjusted, shall remain in effect until the payments reach 90% of the construction administration sum. An additional 5% of sum shall be payable upon (1) completing project closeout as required by the General Conditions and the General Requirements of the Contract for Construction and (2) the receipt of record drawings. The balance of the construction administration sum shall be payable upon Certification of the Final Application for Payment.

Nothing contained herein shall limit the State's right to terminate or suspend this contract pursuant to Articles VIII and IX of the Terms and Conditions of the contract.

It is understood that the Engineer's total fee hereinbefore mentioned in paragraph 2 shall be reduced by the sum hereinbefore mentioned in subparagraph 2E if construction administration is not requested, and, conversely, shall be increased by any payments that the State shall be obligated to make pursuant to the provisions of Article V and Section C of Article VII of the "Terms and Conditions of Contract between State and Engineer." Said total fee shall also be subject to reduction pursuant to the provisions of the third paragraph of Section D of Article V of the "Terms and Conditions of Contract between State and Engineer." It is also understood that a reasonable adjustment in said total fee shall be made by the Commissioner in the event of termination or suspension, as provided in Articles VIII and IX of the "Terms and Conditions of Contract between State and Engineer."

3. The Engineer shall provide the work pursuant to the following phases within the time periods specified below or, at the option of the Department of Construction Services, within extended periods to be determined by the Department if the Department is of the opinion that such extensions are warranted and if the Department evidences its consent to such extensions in writing. The Engineer shall not commence any phase work under the contract until the Engineer receives written authorization to proceed from the DCS Project Manager.
 - A. Schematic Design Phase: 56 calendar days after receipt of written notice to proceed;
 - B. Design Development Phase: 112 calendar days after receipt of written notice to proceed;
 - C. Contract Documents Phase: 56 calendar days after receipt of written notice to proceed.
4. The Engineer's design shall be based on a total construction budget of Two Million Eight Hundred Eighty Thousand Nine Hundred Fifteen Dollars (\$2,880,915.00).
5. The scope of professional services to be provided by the Engineer under this contract is set forth in "Exhibit A."
6. The Engineer shall submit the following materials for review and approval:
 - A. Schematic Design Phase: 4 sets of full-size drawings; 4 sets of half-size drawings; 4 sets of specifications; 4 sets of detailed cost estimates; and 1 electronic copy of all documents;
 - B. Design Development Phase: 4 sets of full-size drawings; 4 sets of half-size drawings; 4 sets of specifications; 4 sets of detailed cost estimates; and 1 electronic copy of all documents;

- C. Contract Documents Phase: 4 sets of full-size drawings, 4 sets of half-size drawings; 4 sets of specifications; 4 sets of detailed cost estimates; and 1 electronic copy of all documents;
7. The Engineer shall develop drawings for this project using computer aided drafting software fully compatible with an AutoCAD version as approved in writing by the Department of Construction Services. After the documents to be provided are approved by the Department of Construction Services, and at a time specified by the Department of Construction Services, the Engineer shall submit an electronic copy of all drawings in a format approved by DCS. Upon completion of construction of the project, the Engineer shall submit a revised electronic copy utilizing the most recently recognized format of the National CAD Standard basic format to reflect as-built conditions. All AutoCAD documentation related to a project shall be of a single media type. All the work called for in this paragraph shall be provided by the Engineer at no additional cost to the State.
 8. The following provisions modify the "Terms and Conditions of Contract between State and Engineer": N/A
 9. Entire Agreement No prior stipulation, agreement or understanding, verbal or otherwise, of the parties hereto, their agents or legal representatives shall be valid or enforceable unless embodied in the provisions of this contract.
 10. Forum and Choice of Law The parties deem the contract to have been made in the City of Hartford, State of Connecticut. Both parties agree that it is fair and reasonable for the validity and construction of the contract to be, and it shall be, governed by the laws and court decisions of the State of Connecticut, without giving effect to its principles of conflicts of laws. To the extent that any immunities provided by Federal law or the laws of the State of Connecticut do not bar an action against the State, and to the extent that these courts are courts of competent jurisdiction, for the purpose of venue, the complaint shall be made returnable to the Judicial District of Hartford only or shall be brought in the United States District Court for the District of Connecticut only, and shall not be transferred to any other court, provided, however, that nothing here constitutes a waiver or compromise of the sovereign immunity of the State of Connecticut. The Engineer waives any objection which it may now have or will have to the laying of venue of any Claims in any forum and further irrevocably submits to such jurisdiction in any suit, action or proceeding.
 11. Approval of the State Properties Review Board As provided in Connecticut General Statutes Section 4b-23(i), it is essential for the Engineer contracting with the Department of Construction Services to understand that the approval of the State Properties Review Board must be granted before the Engineer's work can begin. By providing services without a properly executed contract, the Engineer accepts the risk that payment will not be made by the State of Connecticut.
 12. Approval of the Attorney General's Office This contract shall take effect when it is approved as to form by the Attorney General of the State of Connecticut, the Deputy Attorney General of the State of Connecticut, or an Associate Attorney General of the State of Connecticut.

IN WITNESS WHEREOF, the State, acting herein by its Deputy Commissioner of the Department of Construction Services, and the Engineer have executed this contract.

Attested by:

State of Connecticut

Diane M. Chace
Witness *Diane M. Chace*

By *Pasquale J. Salemi* 9-20-11
Pasquale J. Salemi
Its Deputy Commissioner
of the Department of Construction Services

Date signed: _____

Jonathan Holmes
Witness *Jonathan Holmes*

Attested by:

James P. Purcell Associates, Inc.

James M. Lynch
Witness *JAMES M. LYNCH*

By *Walter E. Dvorsky, Jr.*
WALTER E. DVORSKY, JR.
Its *PRESIDENT*, Duly Authorized

Date signed: *9 Sep 11*

Maria Maloney
Witness *Maria Maloney*

Approved as to form:

[Signature]
ASSOC. ATTY. GENERAL Attorney General

Date signed: *10/5/11*

EXHIBIT A

**Renovate B-Lot and Add 225 New Parking Spaces
Manchester Community College
Manchester, CT
Project No. BI-CTC-440
Contract No. BI-CTC-440-ENG**

Section I

The scope of professional services to be provided by the Engineer under this contract consists of providing the services called for in the contract in connection with the following construction work:

This project is for the design of the complete rehabilitation of the existing B-Lot at Manchester Community College and the construction of 225 new parking spaces elsewhere on campus.

The existing B-Lot has 685 parking spaces and the scope includes: New site lighting; improvements to drainage as required; landscaping improvements to the landscaped islands in the parking lot; access / egress drive relocation; and the reconfiguration of interior drive aisles.

The new parking lot(s) will include site lighting, drainage and landscaping.

A new State Traffic Commission Certificate will be needed.

Section II

The Engineer shall provide the following additional services. The Engineer shall be compensated for said services in the amount(s) specified below, which amount(s) is(are) included in the Engineer's total fee stated in Paragraph 2 of the contract. Said amount(s) include(s) all sub-consultants fees and the Engineer's overhead and profit.

A. Pre-design Study

The Engineer is authorized to conduct a pre-design study.

1. Obtain and review pertinent data including, but not limited to, past studies, master plans, engineering reports and survey information.
2. Create base map of project site from available mapping provided by the DPW or the DCS and user agency. Mapping will be used for planning phase documents.
3. Perform traffic turning counts at eight (8) locations.
4. Perform 24-hour machine counts at 12 locations on, and surrounding, the campus.
5. Prepare an analysis of the traffic operations at the intersections noted in Item A.3. Based on the analyses, provide recommendations for improvements to impacted roadways. Prepare sketches depicting recommended improvements and alternatives, if any exist.
6. Evaluate traffic and pedestrian operations at the interface of the Great Path Academy with the adjacent campus drives and sidewalks. Based on the analyses, provide recommendations

- for improvements to impacted areas. Prepare sketches depicting recommended improvements and alternatives, if any exist.
7. Review handicap parking needs and existing locations on the campus. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 8. Assess the need for sidewalks from Bidwell Street and Hillstown Road onto campus and from Spencer Street to Great Path. Provide recommendations if deficiencies are noted.
 9. Evaluate traffic movements in the vicinity of C-Lot. Provide recommendations for improvements. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 10. Determine the suitability of existing handicap parking and handicap bus drop-off. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 11. Evaluate turning movements for trucks and busses at the intersection of Founder's Drive and Great Path. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 12. Assess the option of closing the Ramey Drive entrance onto Wetherell Street. Determine the impact of this on other site drives and intersections.
 13. Evaluate effectiveness of on and off campus signing as it pertains to campus way finding. Develop recommendations for signing.
 14. Evaluate bandshell parking. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 15. Assess the interface between transit busses and other vehicles along the drive that circles the detention basin. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 16. Evaluate the need for additional C-Lot sidewalks. Provide recommendations for modifications and additions, if necessary. Prepare sketches depicting recommended improvements and alternatives, if any exist.
 17. Evaluate connections to the East Coast Greenway from the campus. Provide sketches showing possible connection(s).
 18. Review existing vehicular traffic patterns within Lot B and in the vicinity of its access drives to define operational deficiencies.
 19. Review existing pedestrian pathways between Lot B and building entrances to determine their deficiencies and Americans with Disabilities Act (ADA) compliance.
 20. Assess evening vehicular and pedestrian circulation within the campus.
 21. Prepare schematic, alternate layouts of Lot B parking area and related pedestrian walkways, landscaping and appurtenant features, for review by DCS, Connecticut Community Colleges System Office and Manchester Community College staff.
 22. Prepare schematic, alternate layouts of additional, 225-space parking area(s) and related pedestrian walkways, landscaping and appurtenant features, for review by DCS, Connecticut Community Colleges System Office and Manchester Community College staff.
 23. Define conceptual means of storm water management.
 24. Complete the DCS permit checklist.
 25. Provide catalog cuts of alternate lighting fixtures for review.

26. Retain the services of an arborist to evaluate the condition of existing trees in B-Lot. Prepare a letter report containing the results of the evaluation.
27. Prepare conceptual cost estimates for each alternative considered, to ensure that initial construction budget will be maintained.
28. Attend coordination meetings with the DCS and the Client Agency (assume 6 meetings). Prepare reports of meetings and distribute as necessary.
29. James P. Purcell Associates, Inc. will prepare four (4) reports, including mapping and supporting documentation, defining the results of the studies conducted during the Pre-design Phase.
30. It is anticipated that work in this Phase can be completed within 12 weeks of receipt of a Notice to Proceed (NTP) with this phase. Note: Traffic counts will be required to be completed when schools are in session. This may impact the completion date of the final product, depending upon the date that the NTP is given.

The Engineer shall provide 4 copies of **reports, including mapping and supporting documentation, defining the results of the studies conducted during the Pre-design Phase** to the Department of Construction Services within **84** calendar days after receipt of written notice to proceed.

For the services provided, the Engineer shall be compensated for said services in the amount of **Ninety Three Thousand Six Hundred Dollars (\$93,600.00).**

B. Permits / Approvals

The Engineer shall provide the following:

Preparation of applications, plans, calculations, other supporting documentation, necessary revisions, etc. Regulatory approvals are expected to include:

1. State Traffic Commission Application
 - a. Prepare an application, supporting plans and documentation for revision to the existing State Traffic Commission certificate (#1382A). Plans will be prepared in accordance with the latest checklist for major traffic generators.
 - b. Prepare two roadway improvement plans (schematic design – not for construction), if required.
2. Connecticut Department of Environmental Protection – Flood Management Certification
 - a. Permit may be required for alteration to existing storm drainage characteristics.
 - b. Obtain and review pertinent data including, but not limited to, soils reports and mapping, geotechnical reports, etc.
 - c. Prepare permit application and necessary supporting documentation, including mitigation plans, calculations, etc.
3. Connecticut Department of Environmental Protection – Permit for the Discharge of Stormwater and Dewatering Wastewaters Associated with Construction Activities.
 - a. Permit is required for activities disturbing areas in excess of one (1) acre.
 - b. Obtain and review pertinent data including, but not limited to, geotechnical reports, etc.
 - c. Prepare storm water pollution control plan (for sites of over ten (10) acres of disturbed area).

- d. Prepare permit application and necessary supporting documentation, including mitigation plans, calculations, etc.

The fee for the permits and approvals services is part of the engineer's basic fee and is included in their design phase fees.

C. Land Survey

The Engineer shall provide the following survey services.

Survey the 12-acre Lot-B site, as well as approximately three (3) acres of additional topographic mapping, in as yet undetermined areas, for an additional 225 parking spaces and other miscellaneous improvements.

1. Assemble any existing base mapping for the project area from CT DPW or DCS, municipal or facility sources.
2. Research facility records for as-built and/or design plans.
3. Research potential utility locations from utility company records and/or existing as-built mapping. The location of underground (U/G) utilities will be compiled from information supplied by municipal, facility, and utility companies willing to supply information. Utility information will also include surveyed location of delineation of underground utilities provided by a utility markout company.
4. Obtain the services of a utility markout company to locate underground utilities within the project area. It is assumed that the markout area will coincide with the area to be surveyed (approximately 15 acres total).
5. Horizontal control will be recovered in Connecticut State Plane Coordinate system – North American Datum of 1983 (NAD '83). Vertical control will be established in North American Vertical Datum of 1988. (NAVD '88).
6. A minimum of three (3) horizontal and vertical control points with ties will be established in the project area for use during future construction projects.
7. Perform topographic and general location survey of visible surface site utilities, buildings, and all visible improvements within the project area.
8. All visible surface features will be depicted and labeled on the map in the project area.
9. Compile FEMA flood limits from record mapping (if any) and depict on the map.
10. Identify horizontal and vertical location of the locations of soil borings performed for the project.
11. The field survey will include obtaining top of frame elevations on all utility structures. Invert elevations and pipe sizes of storm drainage and sanitary sewer pipes will be obtained, and this information will be depicted on the mapping.
12. James P. Purcell Associates, Inc. will prepare four (4) hard copies and a CD of the site topographic survey.

The Engineer shall provide **4 hard copies and a CD of the site topographic survey** to the Department of Construction Services no later than 90 calendar days after receipt of written notice to proceed.

The above survey(s) and its (their) accompanying documentation shall be provided in accordance with the State of Connecticut Regulations of the Department of Consumer Protection, Articles I and II, Sections 20-300b-1 to 20-300b-20, inclusive, and the "Standards for Surveys and Maps in the State of Connecticut" adopted by the Connecticut Association of Land Surveyors, Inc. on September 26, 1996, and shall be certified to the State.

For the services provided, the Engineer shall be compensated for said services in the amount of **Eighteen Thousand Five Hundred Dollars (\$18,500.00).**

D. Utility Markout Services

The Engineer shall provide utility markout services.

The Engineer is authorized to engage the services of a utility markout company to locate underground utilities within the project area. It is assumed that the markout area will coincide with the area to be surveyed (approximately 15 acres total).

The Engineer shall provide 4 copies of drawings showing the location of utilities to the Department of Construction Services no later than 90 calendar days after receipt of written notice to proceed.

For the services provided by the sub-consultant authorized above, the Engineer shall be compensated for said services in the amount of **Five Thousand Dollars (\$5,000.00).**

E. Geotechnical Services

The Engineer shall provide the following geotechnical services. The Engineer is authorized to engage the services of **Dr. Clarence Welti, P.E., P.C., 227 Williams Street East, Glastonbury, CT 06033-2301** for the services set forth in this subsection.

1. Field visit the site and develop a subsurface exploration program to be conducted for the project.
2. Review data from previous soil borings performed at the site.
3. Retain a boring contractor to perform the drilling operations. Coordinate with utilities, Manchester Community College and "Call Before You Dig". Oversee drilling operations. It is assumed that 12 soils borings will be performed in the parking areas.
4. Review exploration data and perform laboratory testing on samples obtained from boring activities.
5. Prepare geotechnical report with construction recommendations. Recommendations will address the reconstruction of parking area pavement and the feasibility of reclamation of existing pavement, sidewalk and drainage system construction.

The Engineer shall provide 4 copies of the report to the Department of Construction Services no later than 90 calendar days after receipt of written notice to proceed.

For the services provided, the Engineer shall be compensated for said services in the amount of **Eight Thousand Five Hundred Dollars (\$8,500.00).**

F. Soil Borings

The Engineer shall provide the following **soil boring** services. The Engineer is authorized to engage the services of **Clarence Welti Associates, Inc., 227 Williams Street East, Glastonbury, CT 06033-2301** for the services set forth in this subsection.

1. Conduct a total of 12 soil borings within the project area.
 - a. Install 2 – 2”diameter groundwater monitoring wells with 5 feet of screen and street boxes, to a depth of 25 feet.
 - b. Install 10 wells to a depth of 10 feet.
2. All borings shall be sampled continuously with standard split spoon samplers for the first 6 feet of drilling and at 5 foot intervals thereafter.
3. The surface at each boring will be restored to match existing surface.

The **Engineer** shall provide 4 copies of the report to the Department of Construction Services no later than 90 calendar days after receipt of written notice to proceed.

For the services provided by the sub-consultant authorized above, the **Engineer** shall be compensated for said services in the amount of **Three Thousand Fifty Dollars (\$3,050.00)**.

G. PMWeb

The Engineer shall provide the following **PMWeb** services.

1. PMWeb: DCS projects utilize “PMWeb” project management software as their project management and recording system. PMWeb Project Management Requirements for the Architect / Engineer (A/E) are as follows:
 - 1.1 DCS is using PMWeb as the project management software tool for this project.
 - 1.2 The Architect / Engineer (A/E) is required to utilize PMWeb for the submission of their billings, utilizing the Consultant Payment Application form within PMWeb. The Consultant Payment Application shall be consistent with the services outlined in the A/E Contract. The A/E may also attach a copy of their office invoice to this Consultant Payment Application,
 - 1.3 The A/E is required to utilize PMWeb for the duration of this project and shall provide project document information via this program. This includes, but is not limited to Project Design Submissions, Design Estimates, Periodic A/E Consultant Payment Applications, Meeting Minutes, Responses to Requests for Information, Submittal Reviews, Proposal Requests, Supplemental Instructions, Construction Change Directives, Bi-monthly Observation-based Construction Progress Reports, Non-conformance Notices, Change Order Letter of Review, Punch List, Project Plans, Project Specifications, Progress Photos, Project Correspondence, Issues (action items), Project Transmittals, Closeout Log, etc. All documents not created in PMWeb, shall be scanned, uploaded and maintained in the PMWeb Document Management System for this project and linked to the corresponding record in PMWeb.
 - 1.4. The A/E is required to purchase two (2) full PMWeb licenses to be used by the A/E from PSSGroup. The cost for the two (2) full licenses shall be included by the A/E in the cost for this contract.

1.5 The A/E shall purchase one (1) day of formal PMWeb training from PSSGroup for training the A/E team. This training will be conducted in the DCS training room at the State Office Building at 165 Capitol Avenue, Hartford, CT 06106 in conjunction with the DCS Project Manager and DCS PMWeb Staff. This training will be coordinated through the DCS Project Manager and the DCS PMWeb Staff. The cost for the one (1) day of formal PMWeb training shall be included by the A/E in the cost for this contract.

1.6 The A/E shall contact PSSGroup, Inc., to purchase the licenses and training at <http://www.pmweb.com> , Phone: (617) 207-7080, or Fax: (978) 246-0248.

1.7 DCS has established a project specific email "file" address for this project. The A/E shall CC: all project related email to this address.

1.8 The above listed requirements listed in 1.3 and 1.7 applies to all of the A/E's sub-consultants. Sub-consultants should attend the PMWeb training as a part of the A/E Team. Sub-consultants will be issued "Guest" Licenses to allow for their participation in PMWeb on this project.

For the services provided, the **Engineer** shall be compensated for said services in the amount of **Nine Thousand Two Hundred Dollars (\$9,200.00)**.

Exhibit B

SEXUAL HARASSMENT POLICY STATEMENT

All personnel of the Department of Public Works have the responsibility for maintaining high standards of honesty, integrity, impartiality and conduct to assure proper performance and maintenance of public trust. Sexual harassment violates these standards, especially with regards to principles of equal opportunity, and specific acts of such misconduct will result in the severest of disciplinary action that can be taken.

Acts of sexual harassment are illegal and prohibited by the Civil Rights Act, Title VII as amended and Connecticut General Statutes 46a-60 as a discriminatory practice.

As the Commissioner of the Department of Public Works, I will under no circumstances tolerate any incidents of this type of behavior. Specifically, any supervisors, who use implicit or explicit sexual behavior to control, influence, or affect the career, pay or job of an employee is engaging in sexual harassment. Similarly, any employee who makes deliberate or repeated offensive verbal comments, gestures, or physical contact of a sexual nature in the work environment is also engaging in sexual harassment.

Sexual harassment can include verbal abuse such as sexual insults, lewd or suggestive comments, or unwelcome jokes of a sexual nature. Sexually suggestive objects or sexually explicit posters, calendars, photographs, cartoons, drawings or other explicit materials are inappropriate in a state workplace and can contribute to creating a hostile or offensive work environment.

Individuals who are sexually harassed by supervisors, co-workers, or peers should make it clear that such behavior is offensive. Individuals can file a sexual harassment complaint to the appropriate source(s) for investigation of the matter, so that action can be taken to ensure a work environment free of sexual harassment.

Sexual harassment is totally unacceptable conduct; it undermines the integrity of the employment relationship, debilitates morale, and interferes with the work productivity of the organization.

I shall expect every manager and supervisor to ensure that any instance of sexual harassment is dealt with swiftly, fairly, and effectively. All substantiated complaints will result in the strongest disciplinary action available to the Department.

SEXUAL HARASSMENT NARRATIVE

Sexual harassment is a particular type of sex discrimination. Like all sexual discrimination, it is illegal. It violates high standards of honesty, integrity, impartiality and conduct required of all sections of the Department of Public Works. It also interferes with and impedes work productivity.

Sexual harassment is defined as "any unwelcome sexual advances or requests for sexual favors or any conduct of a sexual nature when:

1. Submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment;
2. Submission to or rejection of such conduct by any individual is used as the basis for employment decisions affecting such individual; or
3. Such conduct has the purpose or effect of substantially interfering with an individual's work performance or creating an intimidating, hostile or offensive working environment."

You may file a complaint with your supervisor, the Human Resources Office at (860) 713-5304 or Johnette Tolliver, the agency's designated Equal Employment Opportunity Specialist at (860) 713-5394.

Signed by Commissioner Raeanne V. Curtis on May 30, 2008.

ATTACHMENT 1
(11 pages)

STATE OF CONNECTICUT
DEPARTMENT OF CONSTRUCTION SERVICES
FORM CS-3E
February 9, 1998
Last Revision April 27, 2011

TERMS AND CONDITIONS OF CONTRACT
BETWEEN STATE AND ENGINEER

I. GENERAL

The amount of the total construction budget noted in Paragraph 4 of this contract is to include all construction work and the connecting up of all existing utilities and related services; it is to include any other costs directly chargeable to the proper functioning of the building with the exception of the furnishing of equipment other than that which is usually built in as a component part of the building. This amount is not to be exceeded except by prior and express written permission from the State.

II. ENGINEER'S SERVICES

- A. The Engineer agrees to prepare and furnish documents as set forth in Article VI.
- B. The Engineer agrees to become familiar with and follow the DCS provisions set forth in the "DEPARTMENT OF PUBLIC WORKS CONSULTANTS PROCEDURE MANUAL," which may be amended and/or supplemented current with the date of this contract. These guidelines and provisions are incorporated herein by reference and shall be as binding upon the parties to this contract as though fully set forth herein.
- C. The Engineer shall consult with the Department of Construction Services Project Manager to ascertain requirements of the project and consult with proper State authorities and inform himself as to specific institutional conditions that might affect his contemplated work or the hours or season of its execution, such as type of patients, use of adjacent areas, interruptions of institutional routine, etc. The drawings and specifications submitted by the Engineer for review and approval by the State shall reflect consideration of those conditions requiring safeguards and precautionary measures in excess of usual practice.
- D. Should the Engineer require the services of registered consultants at any time during the term of this contract, their names and qualifications shall be submitted to the State for approval. Such consultants shall provide evidence of their competence by affixing their seals on any drawings or specifications prepared by them or under their supervision. The Engineer shall pay such approved registered consultants in proportion to payments received by the Engineer as set forth in Article IV and shall submit evidence of such payments upon request by the State.
- E. The Engineer covenants and agrees that he shall perform his services under this contract in accordance with the standards and practices of his profession.
- F. Indemnification.

The Engineer, at its expense, shall indemnify and hold harmless the State of Connecticut, its officers, agents, and employees from and against all claims, causes of action, legal proceedings, suits, losses, damages, and expenses initiated, suffered, or claimed to have been suffered by third parties not involved by contract in the project, but only to the extent that they arise out of, or result from, noncompliance with applicable statutes, codes and regulations, or the negligence, errors, or omissions of the Engineer in the performance of this contract; provided, however, that the Engineer shall not be liable by reason of indemnification for any loss caused by the fault or negligence of the DCS or others who are not the responsibility of the Engineer.

III. INSURANCE

The Engineer for the duration of this contract, including any extension of the original contract term, must carry insurance to protect the interests of the State. The Engineer must obtain statutory workers' compensation and employers' liability insurance, comprehensive automobile liability insurance, commercial general liability insurance

and professional services liability insurance to not less than the minimum limits as required in this article, all at no cost to the State.

A. Statutory Workers' Compensation and Employers' Liability:

- | | |
|----------------------------|-------------------------|
| 1. Workers' Compensation: | Statutory limits |
| 2. Employers' Liability: | |
| Bodily injury by accident: | \$100,000 each accident |
| Bodily injury by illness: | \$100,000 each employee |
| | \$500,000 policy limit |

B. Commercial General Liability:

- | | |
|------------------------|------------------------------|
| Combined single limit: | \$1,000,000 each occurrence |
| | \$2,000,000 annual aggregate |

C. Comprehensive Automobile Liability

(to include owned, non-owned and hired vehicles):

- | | |
|------------------------|------------------------------|
| Combined single limit: | \$1,000,000 each occurrence |
| | \$1,000,000 annual aggregate |

- D. Professional Services Liability Insurance:** The Engineer shall furnish evidence by way of a certificate of insurance that it has obtained a professional services liability insurance policy with \$1,000,000.00 each occurrence and per aggregate minimum coverage for negligence and errors and omissions. If any claims are paid against its professional services liability insurance policy, the Engineer agrees to purchase additional insurance in order to maintain the minimum coverage of \$1,000,000.00 each occurrence and per aggregate. The insurance shall remain in effect during the entire duration of this contract and for eight years after substantial completion of the project. For policies written on a "Claims Made" basis, the Engineer agrees to maintain a retroactive date prior to or equal to the effective date of the contract. The Engineer shall contractually require any structural engineering firm it hires to maintain professional liability insurance in the same amount and with the same provisions indicated above. The Engineer's policy shall provide that it shall indemnify and save harmless the State and its officers, agents and employees from claims, suits, actions, damages and costs of every name and description resulting from negligence and errors and omissions in the work performed by the Engineer under the terms of this contract.

Each of the policies for such kinds of insurance mentioned above shall be issued by an insurance company or companies satisfactory to the DCS and shall contain a provision that coverage will not be changed, cancelled or non-renewed until at least sixty (60) calendar days' prior written notice has been given to the DCS. Each insurance policy shall state that the insurance company agrees to investigate and defend the insured against all claims for damages to the extent that all alleged damages might be covered by insurance. Such insurance policies shall name the State as an additional insured, except that the State shall not be named as an additional insured with respect to the coverage for the statutory workers' compensation, automobile liability, and employer's liability insurance and to the coverage for professional liability insurance. Certificates of insurance showing such coverages as required in this article shall be filed with the DCS prior to the time this contract is executed on behalf of the State.

IV. PAYMENT OF ENGINEER'S FEE

- A. The State agrees to pay the Engineer for the services herein described the total fee set forth in Paragraph 2 of this contract. It is understood that no changes or adjustments shall be made in said fee unless the scope of the work performed or to be performed by the Engineer has substantially changed as determined by the Commissioner of the Department of Construction Services, hereinafter referred to as the Commissioner.
- B. Said fee includes all costs of living, transportation and communication, whether within or without the State of Connecticut, connected with the discharge of the Engineer's duties under this contract unless express written notification to the contrary is received from the State.
- C. No payments shall be made until the materials submitted have been reviewed and approved by the Department of Construction Services.

V. SPECIAL SERVICES

- A. Should it be necessary for the Engineer to engage the services of a licensed land surveyor, geotechnical engineer or test boring firm for the purposes of this contract, the State shall reimburse the Engineer for the cost of such services and in addition shall also pay the Engineer ten percent (10%) of such cost, or such other

percentage deemed reasonable by the Commissioner, for overhead and profit. The Engineer's selection of the consultant retained in connection therewith is to be submitted for approval.

- B. If, in the opinion of the State, any special technical service is required which is not usually furnished in engineering practice and which is not included in this contract, either expressed or implied by the nature of the work, then the State shall, in writing, authorize the service and the related cost. The Engineer's selection of the consultant retained in connection therewith is to be submitted for approval. The State shall reimburse the Engineer for the cost of any such services and in addition shall also pay the Engineer ten percent (10%) of such cost, or such other percentage deemed reasonable by the Commissioner, for overhead and profit.
- C. Should the Engineer itself wish to perform special services as described in Sections A and B of this article, the Engineer shall submit to the State a written quotation of the cost of its performing such services. The quotation shall not include, nor shall the Engineer be paid for, an additional percentage of the cost for overhead and profit. The State shall decide whether to allow the Engineer to perform the work with its own forces based on its quotation, and shall notify the Engineer accordingly.
- D. If at any time during the term of this contract the State should require the Engineer to make any substantial change in the size or scope of the work or require any substantial change in plan, design or specification which shall necessitate the preparation by the Engineer of additional sketches, drawings or other documents, or the making of substantial changes in any other document already approved, or upon which substantial work had been done pursuant to instruction to proceed, then, and in such event, the Engineer shall prepare the additional documents and make changes as required and shall be entitled to reasonable compensation therefor. The Commissioner shall determine the amount of such compensation and the manner of payment thereof. If the State should require any such substantial changes and if these should result in a change in the amount of the total construction budget noted in Paragraph 4 of this contract, said amount shall be considered changed to an amount determined by the Commissioner.

The above notwithstanding, should it be necessary for the Engineer to prepare any such additional documents or make changes in the same for purposes of meeting the budget requirements of the project, and where an increase in the cost of labor and/or materials is not the governing factor, he shall perform such duties without receiving additional compensation.

In addition, if at any time during the term of this contract the State should request the Engineer to reduce the scope of services originally agreed upon under this contract, the Engineer shall then reduce said scope of services, as requested, and his fee shall be reduced by a fair and equitable amount determined by the Commissioner.

- E. For reuse by the State of the drawings and specifications prepared by the Engineer under this contract, the Engineer shall be paid a reasonable fee for such reuse plus a reasonable fee for making necessary changes to such drawings and specifications as may be required by job conditions. The Commissioner shall determine the amounts of such fees.

VI. SPECIFIC DOCUMENTS TO BE FURNISHED BY THE ENGINEER WHEN AUTHORIZED

A. Schematic Design Phase

The Engineer must receive written notice from the State to proceed with the schematic design phase before commencing the phase. Pursuant to conferences with the State, designs shall be prepared by the Engineer to encompass the general program of the project. These designs shall consist of small scale drawings, elevations, sections and outline specifications. All specifications shall be prepared in accordance with the CSI (Construction Specifications Institute) format. At this time the Engineer shall make sufficiently accurate estimates to determine the feasibility of constructing the project within the funds available. At the beginning of the schematic design phase, the Engineer shall engage his consultants as set forth in Section D of Article II. The Engineer shall submit for review and approval the number of sets of drawings, specifications and detailed cost estimates as indicated in Paragraph 6 of this contract.

While preparing such drawings, specifications and detailed cost estimates, the Engineer shall investigate any factors that may conflict with the use of the site as proposed, such as neighboring building lines, zoning regulations, sanitary codes, health and fire laws, local ordinances, etc., and shall report his findings thereon to the State when submitting schematic design phase drawings, outline specifications and detailed cost estimates.

If the estimate agreed to by the State and Engineer exceeds the total construction budget noted in Paragraph 4 of this contract, or if the State and Engineer cannot agree upon an estimate of the probable construction cost and the probable cost of construction as determined by the State exceeds both the Engineer's estimate and the

total construction budget noted in Paragraph 4 of this contract, then the Engineer shall make appropriate recommendations to the State for adjustments to the documents in regards to the project's scope, quality, or budget. At that time, the State shall have the right to require the Engineer to modify the documents as the State deems necessary to bring the cost within the amount of the total construction budget noted in Paragraph 4 of this contract. The revisions shall be made without additional compensation to the Engineer.

B. Design Development Phase

The Engineer must receive written notice from the State to proceed with the design development phase before commencing the phase. The design development phase drawings shall show the extent of the site, location of the project on the site and the general disposition of the principal features and equipment embodied in the project, and shall be sufficiently developed so as to fix and illustrate the size and character of the project in all of its essential basic particulars as to kinds of materials, types of structure, and mechanical and electrical systems. All specifications shall be prepared in accordance with the CSI (Construction Specifications Institute) format. The Engineer shall submit for review and approval the number of sets of drawings, specifications and detailed cost estimates as indicated in Paragraph 6 of this contract.

Submitted with the design development phase drawings and specifications shall be an estimate of the cost of construction predicated on the same, and broken down into the major sub-trades for the construction of the building, with separate figures for special items such as equipment, site work, and utility lines. Basic engineering and other drawings and specifications shall also be provided at this time by the engineers and other consultants working under the direction of the Engineer.

If the estimate agreed to by the State and Engineer exceeds the total construction budget noted in Paragraph 4 of this contract, or if the State and Engineer cannot agree upon an estimate of the probable construction cost and the probable cost of construction as determined by the State exceeds both the Engineer's estimate and the total construction budget noted in Paragraph 4 of this contract, then the Engineer shall make appropriate recommendations to the State for adjustments to the documents in regards to the project's scope, quality, or budget. At that time, the State shall have the right to require the Engineer to modify the documents as the State deems necessary to bring the cost within the amount of the total construction budget noted in Paragraph 4 of this contract. The revisions shall be made without additional compensation to the Engineer.

At this phase, a rendered colored and framed perspective drawing shall be submitted together with three (3) 8" x 10" black and white photographs thereof.

As the drawings submitted during this phase are to form the basis of the whole concept of the project, they shall be reviewed by the State for conformance to functional and technical requirements of the project and approved by the State before the Engineer proceeds to the next phase. It is understood, however, that such review and approval does not relieve the Engineer from any responsibility arising out of the State's reliance on his professional skill and ability to discharge his services as required by this contract.

C. Contract Documents Phase

The Engineer must receive written notice from the State to proceed with the contract documents phase before commencing the phase. The documents to be provided in this phase are a part of the construction contract and as such must explain in substantial detail the full scope of the work included in, and performed under, the construction contract.

A final detailed estimate of the cost of construction, including unit prices, quantities, labor and materials, predicated on the contract documents phase drawings and detailed specifications, shall be included as a part of this phase. All specifications shall be prepared in accordance with the CSI (Construction Specifications Institute) format and in accordance with Part II of Chapter 60 of the Connecticut General Statutes, as revised, when applicable. The Engineer shall submit for review and approval the number of sets of drawings, specifications and detailed cost estimates as indicated in Paragraph 6 of this contract. Such review and approval by the State does not relieve the Engineer of responsibility arising out of the State's reliance on his professional skill and ability to discharge his services as required by the contract.

If the estimate agreed to by the State and Engineer exceeds the total construction budget noted in Paragraph 4 of this contract, or if the State and Engineer cannot agree upon an estimate of the probable construction cost and the probable cost of construction as determined by the State exceeds both the Engineer's estimate and the total construction budget noted in Paragraph 4 of this contract, then the Engineer shall make appropriate recommendations to the State for adjustments to the documents in regards to the project's scope, quality, or budget. At that time, the State shall have the right to require the Engineer to modify the documents as the State deems necessary to bring the cost within the amount of the total construction budget noted in Paragraph 4 of this contract. The revisions shall be made without additional compensation to the Engineer.

If the project involves either new construction and/or additions to an existing facility, the Engineer will consult with the client agency and develop the first year estimated operating cost for the project's utilities including, but not limited to, heating, cooling, water and sewer.

All original final tracings shall, together with the specifications typed in letter quality print on one side of 8 1/2" x 11" white bond paper, be submitted by the Engineer prior to the State's going to bid.

When the Engineer has incorporated all comments and the documents are ready for bidding, the Engineer will submit the tracings, master specifications, and a CD ROM disk of both to DCS. This submission will conclude the contract documents phase of the contract.

D. Bidding Process

In the event the Department of Construction Services bids the contract drawings and specifications, the Engineer shall, as part of the design services to be rendered for his established fee, include as much of his professional services as the State deems necessary for the well-being of the project and the efficient prosecution of the bidding process.

VII. ENGINEER'S DUTIES DURING CONSTRUCTION

A. If the Engineer's services during construction are requested as set forth in Subparagraph 2E of this contract, the Engineer shall, as part of the services to be rendered for his established fee, include as much of his professional services and the services of his consultants as the State deems necessary for the well-being of the project and efficient prosecution of the construction work. The Engineer shall not, however, be required to undertake continuous on-site observation of the work. If the Engineer fails to perform such duties in a conscientious and reasonable manner, the State may exercise its right to terminate this contract as hereinafter provided in Article VIII.

B. Additionally, it is understood and agreed to by the Engineer and the State that, should the Engineer's services during construction be requested, such services shall include, but not be limited to, the following:

1. observe the progress of construction in order to determine whether there appear to be any defects or deficiencies in the construction work or deviations from the drawings and specifications, including variations from the materials specified and the methods of construction authorized. The Engineer shall not be required to guarantee the performance of the general contractor or his subcontractors;

The Engineer is obligated to immediately notify the DCS project manager, in writing, whenever any work is unsatisfactory, faulty or defective, or does not conform to the contract documents.

2. attend job meetings as required, at which the Engineer shall, on the basis of his visitations to the site and observations thereon, report on the progress of the work and make recommendations concerning the same;
3. submit to the Department of Construction Services on the fifteenth and last days of each month, in such form as directed by the State, observation-based reports regarding the progress of the work;
4. examine submittals and furnish recommendations to the State concerning material and equipment, and review and report on the general contractor's proposals in connection with changes in the construction contract. These services are to be performed within five (5) calendar days of receipt of such proposals so as not to delay the work;
5. review and return partial payment requisitions submitted by the general contractor within three (3) working days of the receipt of such submittals;
6. review and comment on shop drawings submitted to him for review. This service is to be performed within five (5) working days of the receipt of such submittals unless the Department of Construction Services assents to written notification of why this cannot be accomplished;
7. within thirty (30) calendar days after receipt, record on the original final tracings and CAD disks returned to him after the construction contract award all changes made during the period of construction as furnished and recorded by the general contractor, and, at his expense, provide reproducible mylars and updated CAD disks to the State that reflect such changes. The mylars and CAD disks shall become the property of the State;
8. fully cooperate with the Department of Construction Services during the progress of the work.

C. In the event that the time period of the construction contract is exceeded by more than 10% due to no fault of the Engineer, the Engineer may be paid for any additional services required beyond the 10% construction

contract time overrun a reasonable fee to be determined by the Commissioner. The question of fault or no fault on the part of the Engineer shall be determined by the Commissioner.

VIII. TERMINATION OF CONTRACT

- A. Notwithstanding any provisions or language in this contract to the contrary, the Commissioner may terminate the contract whenever he determines in his sole discretion that such termination is in the best interest of the State. Any such termination shall be effected by delivery to the Engineer of a written notice of termination. The notice of termination shall be sent by registered or certified mail to the Engineer's address as furnished to the State by the Engineer for purposes of correspondence, or by hand delivery. Upon receipt of such notice, the Engineer shall both immediately discontinue all services affected (unless the notice directs otherwise) and deliver to the State all data, drawings, specifications, reports, estimates, summaries, and such other information and materials as may have been accumulated by the Engineer in performing his duties under this contract, whether completed or in progress. All such documents, information and materials shall become the property of the State.
- B. If the termination is for the convenience of the State, the Engineer shall be entitled to receive reasonable compensation for services already satisfactorily performed and accepted, but no amount shall be allowed for anticipated profit on unperformed services. The Commissioner shall determine the amount of such compensation.
- C. If the termination is for reason of failure of the Engineer to fulfill his contract obligations, the State may take over the work and prosecute the same to completion by contract or otherwise. In such event, the Engineer shall be liable to the State for any additional costs occasioned to the State thereby.
- D. If after notice of termination for failure of the Engineer to fulfill his contract obligations it is determined that the Engineer had not so failed, the termination shall be deemed to have been effected for the convenience of the State. In such event, the Engineer shall be entitled to reasonable compensation as provided in Section B of this article.
- E. If the Engineer is a sole proprietor and the Engineer should die during the term of this contract, this contract shall be considered terminated. In the event of such termination, the Engineer's estate shall be entitled to a reasonable payment for any uncompensated work performed to the date of death, and the State shall have title to, and shall have the right to immediate use and possession of, all finished and unfinished documents prepared under this contract. The Commissioner shall determine the amount of such payment.
- F. The rights and remedies of the parties provided in this article are in addition to any other rights and remedies provided by law or under this contract.

IX. SUSPENSION OF THE WORK

- A. The State, at any time, may suspend all or any part of the services of the Engineer. In such event, the Engineer shall be given three (3) days' notice of such suspension in writing by registered or certified mail to the Engineer's address as given to the State by the Engineer for correspondence purposes. The mailing of such notice shall preclude any claim on the part of the Engineer as to failure to receive notice of such suspension.
- B. In the event of suspension by the State as noted above, the Engineer shall be entitled to such compensation as the Commissioner shall deem reasonable.
- C. Should the State reactivate any assigned work covered by this contract, in whole or in part, within one year from the time the work was suspended, any fees paid to the Engineer pursuant to this contract shall be applied as payment on the fees for the work as set forth in this contract at the time of reactivation. Should reactivation occur after a period of suspension exceeding one (1) year, the Engineer and the State may renegotiate the fees for the work based on current conditions or either may unilaterally elect to terminate the remaining work.
- D. In the event the State decides to suspend any work under this contract, the State shall become entitled, after payment of outstanding fees, to all finished and unfinished documents prepared pursuant to this contract.
- E. If the Engineer should be unwilling or unable to perform the services required by this contract at the time the State desires to reactivate the work after a period of suspension, then all finished or unfinished documents prepared pursuant to this contract shall become the property of the State and the State shall have the right to immediate possession and use thereof.

X. CONFIDENTIALITY OF DOCUMENTS

- A. The Engineer agrees on behalf of the Engineer and the Engineer's principals, employees, agents, heirs, successors and assigns that they shall only utilize drawings, specifications, maps, reports, records or other documents to the extent necessary for the performance of the Engineer's work and duties under this contract. This limitation on use applies to those items produced by the Engineer, as well as to those items received by the Engineer from the Department of Construction Services or others in connection with the Engineer's work and duties under this contract.
- B. The Engineer further agrees that said drawings, specifications, maps, reports, records and other documents may not be released to any other entity or person except for the sole purpose of the work described in this contract. No other disclosure shall be permitted without the prior written consent of the Department of Construction Services.
- C. The Engineer further agrees that the following provision will be included in its contracts with sub-consultants:

Any and all drawings, specifications, maps, reports, records or other documents associated with the contract work shall only be utilized to the extent necessary for the performance of the work and duties under this contract. Said drawings, specifications, maps, reports, records and other documents may not be released to any other entity or person except for the sole purpose of the work described in this contract. No other disclosure shall be permitted without the prior written consent of the Department of Construction Services. When any such drawings, specifications, maps, reports, records or other documents are no longer needed, they shall be destroyed.

XI. NONDISCRIMINATION AND AFFIRMATIVE ACTION PROVISIONS, NONDISCRIMINATION PROVISIONS REGARDING SEXUAL ORIENTATION, EXECUTIVE ORDERS, SEXUAL HARASSMENT POLICY, SUMMARY OF STATE ETHICS LAWS AND CAMPAIGN FINANCE LAWS

For the purposes of this article, the word "contractor" is substituted for and has the same meaning and effect as if it read "Engineer."

- A. Non-discrimination. References in this section to "contract" shall mean this Contract and references to "contractor" shall mean the Engineer.
 - (a) The following subsections are set forth here as required by section 4a-60 of the Connecticut General Statutes:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved, in any manner prohibited by the laws of the United States or of the state of Connecticut. The contractor further agrees to take affirmative action to insure that applicants with job-related qualifications are employed and that employees are treated when employed without regard to their race, color, religious creed, age, marital status, national origin, ancestry, sex, mental retardation, mental disability or physical disability, including, but not limited to, blindness, unless it is shown by such contractor that such disability prevents performance of the work involved; (2) the contractor agrees, in all solicitations or advertisements for employees placed by or on behalf of the contractor, to state that it is an "affirmative action-equal opportunity employer" in accordance with regulations adopted by the commission; (3) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the commission advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (4) the contractor agrees to comply with each provision of this section and sections 46a-68e and 46a-68f and with each regulation or relevant order issued by said commission pursuant to sections 46a-56, 46a-68e and 46a-68f; (5) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent

books, records and accounts, concerning the employment practices and procedures of the contractor as relate to the provisions of this section and section 46a-56.

- (b) If the contract is a public works contract, the contractor agrees and warrants that he will make good faith efforts to employ minority business enterprises as subcontractors and suppliers of materials on such public works project.
- (c) "Minority business enterprise" means any small contractor or supplier of materials fifty-one per cent or more of the capital stock, if any, or assets of which is owned by a person or persons: (1) Who are active in the daily affairs of the enterprise, (2) who have the power to direct the management and policies of the enterprise and (3) who are members of a minority, as such term is defined in subsection (a) of section 32-9n; and "good faith" means that degree of diligence which a reasonable person would exercise in the performance of legal duties and obligations. "Good faith efforts" shall include, but not be limited to, those reasonable initial efforts necessary to comply with statutory or regulatory requirements and additional or substituted efforts when it is determined that such initial efforts will not be sufficient to comply with such requirements.
- (d) Determination of the contractor's good faith efforts shall include but shall not be limited to the following factors: The contractor's employment and subcontracting policies, patterns and practices; affirmative advertising, recruitment and training; technical assistance activities and such other reasonable activities or efforts as the commission may prescribe that are designed to ensure the participation of minority business enterprises in public works projects.
- (e) The contractor shall develop and maintain adequate documentation, in a manner prescribed by the commission, of its good faith efforts.
- (f) The contractor shall include the provisions of sections (a) and (b) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.
- (g) The following subsections are set forth here as required by section 4a-60a of the Connecticut General Statutes:
 - (1) The contractor agrees and warrants that in the performance of the contract such contractor will not discriminate or permit discrimination against any person or group of persons on the grounds of sexual orientation, in any manner prohibited by the laws of the United States or of the state of Connecticut, and that employees are treated when employed without regard to their sexual orientation; (2) the contractor agrees to provide each labor union or representative of workers with which such contractor has a collective bargaining agreement or other contract or understanding and each vendor with which such contractor has a contract or understanding, a notice to be provided by the Commission on Human Rights and Opportunities advising the labor union or workers' representative of the contractor's commitments under this section, and to post copies of the notice in conspicuous places available to employees and applicants for employment; (3) the contractor agrees to comply with each provision of this section and with each regulation or relevant order issued by said commission pursuant to section 46a-56; and (4) the contractor agrees to provide the Commission on Human Rights and Opportunities with such information requested by the commission, and permit access to pertinent books, records and accounts, concerning the employment practices and procedures of the contractor which relate to the provisions of this section and section 46a-56.
- (h) The contractor shall include the provisions of section (g) above in every subcontract or purchase order entered into in order to fulfill any obligation of a contract with the state and such provisions shall be binding on a subcontractor, vendor or manufacturer unless exempted by regulations or orders of the commission. The contractor shall take such action with respect to any such subcontract or purchase order as the commission may direct as a means of enforcing such provisions including sanctions for noncompliance in accordance with section 46a-56; provided, if such contractor becomes involved in, or is threatened with, litigation with a subcontractor or vendor as a result of such direction by the

commission, the contractor may request the state of Connecticut to enter into any such litigation or negotiation prior thereto to protect the interests of the state and the state may so enter.

- (i) For the purposes of this entire Non-Discrimination section, "contract" includes any extension or modification of the contract, "contractor" includes any successors or assigns of the contractor, "marital status" means being single, married as recognized by the state of Connecticut, widowed, separated or divorced, and "mental disability" means one or more mental disorders, as defined in the most recent edition of the American Psychiatric Association's "Diagnostic and Statistical Manual of Mental Disorders", or a record of or regarding a person as having one or more such disorders. For the purposes of this section, "contract" does not include a contract where each contractor is (1) a political subdivision of the state, including, but not limited to, a municipality, (2) a quasi-public agency, as defined in Conn. Gen. Stat. Section 1-120, (3) any other state, including but not limited to any federally recognized Indian tribal governments, as defined in Conn. Gen. Stat. Section 1-267, (4) the federal government, (5) a foreign government, or (6) an agency of a subdivision, agency, state or government described in the immediately preceding enumerated items (1), (2), (3), (4) or (5).

B. Executive Orders. This contract is subject to the provisions of Executive Order No. Three of Governor Thomas J. Meskill, promulgated June 16, 1971, concerning labor employment practices, Executive Order No. Seventeen of Governor Thomas J. Meskill, promulgated February 15, 1973, concerning the listing of employment openings and Executive Order No. Sixteen of Governor John G. Rowland promulgated August 4, 1999, concerning violence in the workplace, all of which are incorporated into and are made a part of the contract as if they had been fully set forth in it. The contract may also be subject to Executive Order No. 7C of Governor M. Jodi Rell, promulgated July 13, 2006, concerning contracting reforms and Executive Order No. 14 of Governor M. Jodi Rell, promulgated April 17, 2006, concerning procurement of cleaning products and services, in accordance with their respective terms and conditions. If Executive Orders 7C and 14 are applicable, they are deemed to be incorporated into and are made a part of the contract as if they had been fully set forth in it. At the Engineer's request, the Department shall provide a copy of these orders to the Engineer.

1. The contractor agrees to abide by such Executive Orders.
2. The State Contracting Standards Board may review this contract and recommend termination of the contract for a violation of the State Ethics Code (Chapter 10 of the general statutes) or section 4a-100 of the general statutes, or wanton or reckless disregard of any state contracting and procurement process by any person substantially involved in such contract or state contracting agency.
3. This contract may be cancelled, terminated or suspended by DCS or the State Labor Commissioner for violation of or noncompliance with Executive Orders No. Three or Seventeen or any State or federal law concerning nondiscrimination, notwithstanding that the State Labor Commissioner is not party to this contract. The State Labor Commissioner shall have continuing jurisdiction regarding contract performance concerning nondiscrimination and listing all employment openings with the Connecticut State Employment Service until the contract is completed or until the contract is terminated prior to completion.
4. The contractor agrees, as part consideration hereof, that this contract is subject to the Guidelines and Rules issued by the State Labor Commissioner to implement Executive Order No. Three, and that the contractor will not discriminate in its employment practices or policies, will file all reports as required, and will fully cooperate with the State of Connecticut and the State Labor Commissioner.
5. This contract may be cancelled, terminated, or suspended by DCS or the State for violation of or noncompliance with Executive Order Sixteen. In addition, the contractor agrees to include a copy of Executive Order Sixteen, and the requirement to comply with said order, in all contracts with its contractors, subcontractors, consultants, subconsultants and vendors.

C. This contract is subject to the provisions of the Department of Public Works Sexual Harassment Policy ("Policy") and, as such, the contract may be cancelled, terminated, or suspended by the State in the event that the contractor, its employees, contractors, subcontractors, consultants, subconsultants, or vendors engage in behavior prohibited by the provisions of the Policy (a copy of the Policy is attached to this contract as Exhibit B). The contractor agrees to include a copy of the Policy, and the requirement to prevent behavior as defined in such Policy, in all contracts with its contractors, subcontractors, consultants, subconsultants, and vendors.

D. **Summary of State Ethics Laws.** Pursuant to the requirements of section 1-101qq of the Connecticut General Statutes, the summary of State ethics laws developed by the State Ethics Commission pursuant to section 1-81b of the Connecticut General Statutes is incorporated by reference into and made a part of the contract as if the summary had been fully set forth in the contract.

E. **CAMPAIGN CONTRIBUTION RESTRICTION PROVISION**

For all State contracts as defined in Subsection 9-612(g) of the Connecticut General Statutes, as amended by Public Act 10-1, having a value in a calendar year of \$50,000 or more or a combination or series of such agreements or contracts having a value of \$100,000 or more, the authorized signatory to this Contract expressly acknowledges receipt of the State Elections Enforcement Commission's notice ("Notice") advising state contractors, as defined in Subsection 9-612(g) of the Connecticut General Statutes, as amended by Public Act 10-1, of state campaign contribution and solicitation prohibitions, and will inform its principals of the contents of such Notice. The Notice issued by the State Elections Enforcement Commission, an SEEC Form, is appended as "Attachment" and incorporated herein by reference.

XII. WHISTLEBLOWING

This contract may be subject to the provisions of Section 4-61dd of the Connecticut General Statutes. In accordance with this statute, if an officer, employee or appointing authority of the Engineer takes or threatens to take any personnel action against any employee of the Engineer in retaliation for such employee's disclosure of information to any employee of the contracting state or quasi-public agency or the Auditors of Public Accounts or the Attorney General under the provisions of subsection (a) of such statute, the Engineer shall be liable for a civil penalty of not more than five thousand dollars for each offense, up to a maximum of twenty per cent of the value of this contract. Each violation shall be a separate and distinct offense and in the case of a continuing violation, each calendar day's continuance of the violation shall be deemed to be a separate and distinct offense. The State may request that the Attorney General bring a civil action in the Superior Court for the Judicial District of Hartford to seek imposition and recovery of such civil penalty. In accordance with subsection (f) of such statute, each large state contractor, as defined in the statute, shall post a notice of the provisions of the statute relating to large state contractors in a conspicuous place which is readily available for viewing by the employees of the Engineer.

XIII. ANNUAL CERTIFICATION

If the aggregate value of this contract is \$50,000.00 or more, including all amendments and/or commission letters, then the Engineer shall annually submit, on or within two (2) weeks of the anniversary date of the execution of this contract, a completed annual contract certification to Room 437, 165 Capitol Avenue, Hartford, CT 06106, to the attention of the Contracts Secretary. For the purposes of this article, the execution date of the contract shall be the date the Commissioner of DCS signs the contract.

XIV. Sovereign Immunity

The parties acknowledge and agree that nothing in the Solicitation or the contract shall be construed as a modification, compromise or waiver by the State of any rights or defenses of any immunities provided by Federal law or the laws of the State of Connecticut to the State or any of its officers and employees, which they may have had, now have or will have with respect to all matters arising out of the contract. To the extent that this section conflicts with any other section, this section shall govern. This article of the contract shall survive the completion and/or termination of this contract.

XV. State's Rights of Inspection, Audit and Collection; Maintenance of Records

- (a) All services performed by and material supplied by the Engineer under this contract shall be subject to the inspection and approval of the State at all times, and Engineer shall furnish all information concerning such material and services as may be requested by the State.
- (b) The Engineer shall maintain, and shall require each of its subcontractors hereunder to maintain, accurate and complete records, books of account and other documents that delineate the nature and extent of the State's, Engineer's, and, in the case of each subcontract, the applicable subcontractor's, performance hereunder. The Engineer shall maintain all such documentation and any and all other of its records (whether stored in electronic or other form) that in any way pertain or relate to this contract and/or the actual or alleged performance and/or lack of performance by any party hereunder (individually and collectively, "Records")

at the Engineer's address provided on the first page of this contract or such other location as is approved in writing in advance by the State.

- (c) The Engineer agrees to make all of its Records available for inspection and/or examination, and copying, by the State's authorized representatives during reasonable hours. The State and its representatives also shall have the right, at reasonable hours, to inspect and examine all of the part(s) of the Engineer's and its subcontractors' plant(s) and/or place(s) of the businesses which, in any way, are related to, or involved in, the performance of this contract and/or any subcontract to ensure compliance with the same. Except in the case of suspected fraud or other abuse or in the event of an emergency, the State will give the Engineer at least twenty-four (24) hours notice of any intended inspections or examinations.
- (d) At the State's request, the Engineer shall provide the State with hard copies of or electronic media containing any data or information in the possession or control of the Engineer which pertains to the State's business or this contract.
- (e) The Engineer agrees that it will keep and preserve or cause to be kept and preserved all of its Records until three (3) years after the latter of (i) final payment under this contract, or (ii) the expiration or earlier termination of this contract, as the same may be extended or renewed, and any holdover period.
- (f) The Engineer also agrees that it will require each subcontractor under this contract to maintain all of its Records until three (3) years after the expiration or earlier termination of said subcontract or other agreement, as the same may be renewed or extended.
- (g) If any litigation, claim or audit is started before the expiration of said three (3) year periods, such records shall be (and shall be required to be) retained until all litigation, claims or audit findings have been resolved.
- (h) The Engineer shall incorporate the provisions of this article, including this section (h), verbatim into any contract or other agreement it enters into with any subcontractor under this contract.

XVI. DISCLOSURE OF RECORDS

This contract may be subject to the provisions of section 1-218 of the Connecticut General Statutes. In accordance with this statute, each contract in excess of two million five hundred thousand dollars between a public agency and an entity for the performance of a governmental function shall (a) provide that the public agency is entitled to receive a copy of records and files related to the performance of the governmental function, and (b) indicate that such records and files are subject to FOIA and may be disclosed by the public agency pursuant to FOIA. No request to inspect or copy such records or files shall be valid unless the request is made to the public agency in accordance with FOIA. Any complaint by a person who is denied the right to inspect or copy such records or files shall be brought to the Freedom of Information Commission in accordance with the provisions of sections 1-205 and 1-206 of the Connecticut General Statutes.



Notice to Executive Branch State Contractors and Prospective State Contractors of Campaign Contribution and Solicitation Limitations

This notice is provided under the authority of Connecticut General Statutes §9-612(g)(2), as amended by P.A. 10-1, and is for the purpose of informing state contractors and prospective state contractors of the following law (*italicized words are defined on the reverse side of this page*).

CAMPAIGN CONTRIBUTION AND SOLICITATION LIMITATIONS

No *state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor*, with regard to a *state contract or state contract solicitation* with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee (which includes town committees).

In addition, no holder or principal of a holder of a valid prequalification certificate, shall make a contribution to (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of State senator or State representative, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

On and after January 1, 2011, no state contractor, prospective state contractor, principal of a state contractor or principal of a prospective state contractor, with regard to a state contract or state contract solicitation with or from a state agency in the executive branch or a quasi-public agency or a holder, or principal of a holder of a valid prequalification certificate, shall *knowingly solicit* contributions from the state contractor's or prospective state contractor's employees or from a *subcontractor or principals of the subcontractor* on behalf of (i) an exploratory committee or candidate committee established by a candidate for nomination or election to the office of Governor, Lieutenant Governor, Attorney General, State Comptroller, Secretary of the State or State Treasurer, (ii) a political committee authorized to make contributions or expenditures to or for the benefit of such candidates, or (iii) a party committee.

DUTY TO INFORM

State contractors and prospective state contractors are required to inform their principals of the above prohibitions, as applicable, and the possible penalties and other consequences of any violation thereof.

PENALTIES FOR VIOLATIONS

Contributions or solicitations of contributions made in violation of the above prohibitions may result in the following civil and criminal penalties:

Civil penalties—Up to \$2,000 or twice the amount of the prohibited contribution, whichever is greater, against a principal or a contractor. Any state contractor or prospective state contractor which fails to make reasonable efforts to comply with the provisions requiring notice to its principals of these prohibitions and the possible consequences of their violations may also be subject to civil penalties of up to \$2,000 or twice the amount of the prohibited contributions made by their principals.

Criminal penalties—Any knowing and willful violation of the prohibition is a Class D felony, which may subject the violator to imprisonment of not more than 5 years, or not more than \$5,000 in fines, or both.

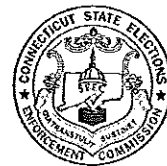
CONTRACT CONSEQUENCES

In the case of a state contractor, contributions made or solicited in violation of the above prohibitions may result in the contract being voided.

In the case of a prospective state contractor, contributions made or solicited in violation of the above prohibitions shall result in the contract described in the state contract solicitation not being awarded to the prospective state contractor, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

The State shall not award any other state contract to anyone found in violation of the above prohibitions for a period of one year after the election for which such contribution is made or solicited, unless the State Elections Enforcement Commission determines that mitigating circumstances exist concerning such violation.

Additional information may be found on the website of the State Elections Enforcement Commission, www.ct.gov/seec. Click on the link to "Lobbyist/Contractor Limitations."



DEFINITIONS

"State contractor" means a person, business entity or nonprofit organization that enters into a state contract. Such person, business entity or nonprofit organization shall be deemed to be a state contractor until December thirty-first of the year in which such contract terminates. "State contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Prospective state contractor" means a person, business entity or nonprofit organization that (i) submits a response to a state contract solicitation by the state, a state agency or a quasi-public agency, or a proposal in response to a request for proposals by the state, a state agency or a quasi-public agency, until the contract has been entered into, or (ii) holds a valid prequalification certificate issued by the Commissioner of Administrative Services under section 4a-100. "Prospective state contractor" does not include a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a state contractor or prospective state contractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a state contractor or prospective state contractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a state contractor or prospective state contractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a state contractor or prospective state contractor, which is not a business entity, or if a state contractor or prospective state contractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any state contractor or prospective state contractor who has *managerial or discretionary responsibilities with respect to a state contract*, (v) the spouse or a *dependent child* who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the state contractor or prospective state contractor.

"State contract" means an agreement or contract with the state or any state agency or any quasi-public agency, let through a procurement process or otherwise, having a value of fifty thousand dollars or more, or a combination or series of such agreements or contracts having a value of one hundred thousand dollars or more in a calendar year, for (i) the rendition of services, (ii) the furnishing of any goods, material, supplies, equipment or any items of any kind, (iii) the construction, alteration or repair of any public building or public work, (iv) the acquisition, sale or lease of any land or building, (v) a licensing arrangement, or (vi) a grant, loan or loan guarantee. "State contract" does not include any agreement or contract with the state, any state agency or any quasi-public agency that is exclusively federally funded, an education loan, a loan to an individual for other than commercial purposes or any agreement or contract between the state or any state agency and the United States Department of the Navy or the United States Department of Defense.

"State contract solicitation" means a request by a state agency or quasi-public agency, in whatever form issued, including, but not limited to, an invitation to bid, request for proposals, request for information or request for quotes, inviting bids, quotes or other types of submittals, through a competitive procurement process or another process authorized by law waiving competitive procurement.

"Managerial or discretionary responsibilities with respect to a state contract" means having direct, extensive and substantive responsibilities with respect to the negotiation of the state contract and not peripheral, clerical or ministerial responsibilities.

"Dependent child" means a child residing in an individual's household who may legally be claimed as a dependent on the federal income tax of such individual.

"Solicit" means (A) requesting that a contribution be made, (B) participating in any fund-raising activities for a candidate committee, exploratory committee, political committee or party committee, including, but not limited to, forwarding tickets to potential contributors, receiving contributions for transmission to any such committee or bundling contributions, (C) serving as chairperson, treasurer or deputy treasurer of any such committee, or (D) establishing a political committee for the sole purpose of soliciting or receiving contributions for any committee. Solicit does not include: (i) making a contribution that is otherwise permitted by Chapter 155 of the Connecticut General Statutes; (ii) informing any person of a position taken by a candidate for public office or a public official, (iii) notifying the person of any activities of, or contact information for, any candidate for public office; or (iv) serving as a member in any party committee or as an officer of such committee that is not otherwise prohibited in this section.

"Subcontractor" means any person, business entity or nonprofit organization that contracts to perform part or all of the obligations of a state contractor's state contract. Such person, business entity or nonprofit organization shall be deemed to be a subcontractor until December thirty first of the year in which the subcontract terminates. "Subcontractor" does not include (i) a municipality or any other political subdivision of the state, including any entities or associations duly created by the municipality or political subdivision exclusively amongst themselves to further any purpose authorized by statute or charter, or (ii) an employee in the executive or legislative branch of state government or a quasi-public agency, whether in the classified or unclassified service and full or part-time, and only in such person's capacity as a state or quasi-public agency employee.

"Principal of a subcontractor" means (i) any individual who is a member of the board of directors of, or has an ownership interest of five per cent or more in, a subcontractor, which is a business entity, except for an individual who is a member of the board of directors of a nonprofit organization, (ii) an individual who is employed by a subcontractor, which is a business entity, as president, treasurer or executive vice president, (iii) an individual who is the chief executive officer of a subcontractor, which is not a business entity, or if a subcontractor has no such officer, then the officer who duly possesses comparable powers and duties, (iv) an officer or an employee of any subcontractor who has managerial or discretionary responsibilities with respect to a subcontract with a state contractor, (v) the spouse or a dependent child who is eighteen years of age or older of an individual described in this subparagraph, or (vi) a political committee established or controlled by an individual described in this subparagraph or the business entity or nonprofit organization that is the subcontractor.